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| <b>PTO-1390</b><br><b>TRANSMITTAL LETTER TO THE UNITED STATES</b><br><b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b><br><b>CONCERNING A FILING UNDER 35 U.S.C. 371</b>   |   | ATTORNEY DOCKET NUMBER<br>7388/84325  |
|  |   | U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br>US Appln No.: Not Yet Assigned |
| INTERNATIONAL APPLN. NO.:<br>PCT/JP03/13932  | INTERNATIONAL FILING DATE<br>International Filing Date: 30 October 2003 | PRIORITY DATE CLAIMED<br>30 October 2002  |
| TITLE OF INVENTION<br>NUCLEIC ACIDS ISOLATED FROM STAGE 4 NUEROBLASTOMA  |   |   |
| APPLICANT(S) FOR DO/EO/US<br>Akira NAKAGAWARA, Miki OHIRA  |   |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |   |   |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. Please do not delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 20. below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment TO BE ENTERED BEFORE CALCULATING FEES DUE.</li> </ol> |   |   |

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11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment TO BE ENTERED BEFORE CALCULATING FEES DUE.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

International Search Report (PCT/ISA/210)

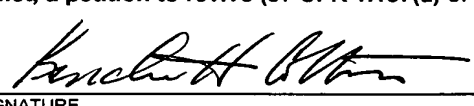
PCT Notification Concerning Submission of Transmittal of Priority Document (PCT/IB/304)

PCT Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (PTO/IB/308)

Verification

Sequence Listings

Diskettes (2) with Sequence Listings, "Diskette Copy 1" and "Diskette Copy 2"

|  |                    |  |              |   |          |   |                 |
|--|--------------------|--|--------------|---|----------|---|-----------------|
| 21. The following fees are submitted:  |                    |  |              |   |          | Applicant use   | Office use only |
| <input checked="" type="checkbox"/> a)   | Basic national fee | \$300.00   |              |   |          | \$ 300.00   |                 |
| <input checked="" type="checkbox"/> b)   | Examination fee    | \$200.00   |              |   |          | \$ 200.00   |                 |
| <input checked="" type="checkbox"/> c)   | Search fee         | \$500.00   |              |   |          | \$ 500.00   |                 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |                    |  |              |   |          | \$1,000.00  |                 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |                    |  |              |   |          |   |                 |
| Total Sheets   | Extra Sheets       | Number of each additional 50 or fraction thereof |              |   | RATE     |   |                 |
| 48 - 100   | 0 / 50 =           | 0  | x            |   | \$250.00 | 0.00  |                 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |                    |  |              |   |          | 0.00  |                 |
| CLAIMS   | NUMBER FILED       |  | NUMBER EXTRA |   | RATE     |   |                 |
| Total claims   | 16                 | - 20 =   | 0            | x | \$50.00  | 0.00  |                 |
| Independent Claims   | 7                  | - 3 =  | 4            | x | \$200.00 | 800.00  |                 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |                    |  |              |   | \$360.00 | \$0.00  |                 |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |                    |  |              |   |          | \$1,800.00  |                 |
| Applicant(s) assert entitlement to Small Entity Status (37 CFR 1.27), thus reducing the filing fee by half to:   |                    |  |              |   |          | 0.00  |                 |
| <b>SUBTOTAL =</b>  |                    |  |              |   |          | \$1,800.00  |                 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |                    |  |              |   |          | 0.00  |                 |
| <b>TOTAL NATIONAL FEE =</b>  |                    |  |              |   |          | \$1,800.00  |                 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.  |                    |  |              |   |          | 0.00  |                 |
| <b>TOTAL FEES ENCLOSED =</b>   |                    |  |              |   |          | \$1,800.00  |                 |
| AMOUNT TO BE:  |                    |  |              |   |          | \$  |                 |
|  |                    |  |              |   |          | Charged   | \$              |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.<br>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 06-1135, regarding our Order No. 7388/84325, in the amount of \$ 1,800 to cover the above fees. A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-1135 regarding Order No. 7388/84325. A duplicate copy of this sheet is enclosed. |                    |  |              |   |          |   |                 |
| <b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>  |                    |  |              |   |          |   |                 |
| SEND ALL CORRESPONDENCE TO: <b>CUSTOMER No. 42798</b>  |                    |  |              |   |          |   |                 |
| FITCH, EVEN, TABIN & FLANNERY<br>1801 K Street, NW, Suite 401L<br>Washington, DC 2006-1201<br>Telephone: (202) 419-7000<br>Facsimile: (202) 419-7007   |                    |  |              |   |          | SIGNATURE<br><br>NAME: Kendrew H. Colton<br>REGISTRATION NUMBER: 30,368<br>Date: April 28, 2005 |                 |

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JC20 Rec'd PTO 28 APR 2004

**APPLICATION UNDER UNITED STATES PATENT LAWS**

Atty. Dkt. No. 7388/84325

Invention: NUCLEIC ACIDS ISOLATED FROM STAGE 4 NUEROBLASTOMA

Inventor(s): Akira NAKAGAWARA  
Miki OHIRA

**CUSTOMER NO. 42798**

Fitch, Even, Tabin & Flannery  
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Washington, D.C. 20006-1201  
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This is a:

- ☐ Provisional Application
- ☐ Regular Utility Application
- ☐ Divisional Application
- ☒ PCT National Phase Application
  - ☒ The complete disclosure of PCT/JP03/13932, filed October 30, 2003 is incorporated by reference.
- ☐ Design Application
- ☐ Reissue Application
- ☐ Plant Application
- ☐ Substitute Specification
- ☐ Sub. Spec. Filed \_\_\_\_\_  
In Appl. No. \_\_\_\_/\_\_\_\_
- ☐ Marked-up Specification re  
Sub. Spec. filed \_\_\_\_\_  
In Appl. No. \_\_\_\_/\_\_\_\_

**SPECIFICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Akira NAKAGAWARA et al.

Group Art Unit: Not Yet Assigned

New 371 Application

Examiner: Not Yet Assigned

Filed: Herewith, April 28, 2005

Attorney Docket No.: 7388/84325

Confirmation No.: Not Yet Assigned

Customer No.: 42798

Title: NUCLEIC ACIDS ISOLATED FROM STAGE 4 NUEROBLASTOMA

**GENERAL AUTHORIZATION FOR PETITION FOR  
EXTENSION OF TIME UNDER 37 C.F.R. §1.136(a)(3)**

MAIL STOP PCT  
Commissioner for Patents  
Customer Service Window  
Randolph Building  
401 Dulany Street  
Alexandria, VA 22304


Sir:

Applicant(s) hereby request under 37 C.F.R. §1.136(a)(3) by this general authorization that any concurrent or future reply submitted by Applicant(s) to the United States Patent and Trademark Office for the above-identified patent application requiring a petition for an extension of time under §1.136(a) for its timely submission be treated as incorporating therein a petition for an extension of time for the appropriate length of time.

If Applicant(s) do not timely pay for any extension fee(s) pursuant to 37 C.F.R. §1.136(a) which may become due for this application under 37 C.F.R. §1.17 by check, the Commissioner is hereby authorized to charge such fee(s), and any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135 regarding our Order Number 7388/84325.

Respectfully submitted,

Date: April 28, 2005



Kendrew H. Colton  
Registration No. 30,368

OFFICIAL CORRESPONDENCE TO  
Customer No. 42798

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VERIFICATION

The undersigned, of the below address, hereby certifies that he/she well knows both the English and Japanese languages, and that the attached is an accurate English translation of the PCT application filed on October 30, 2003 under No. PCT/JP03/13932.

The undersigned declares further that all statements made herein of his/her own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed this 20th day of April, 2005.

Signature:



Name: Shiro TERASAKI

Address: c/o Soei Patent & Law Firm Ginza First Bldg.,  
10-6, Ginza 1-chome, Chuo-ku, Tokyo 104-0061  
Japan